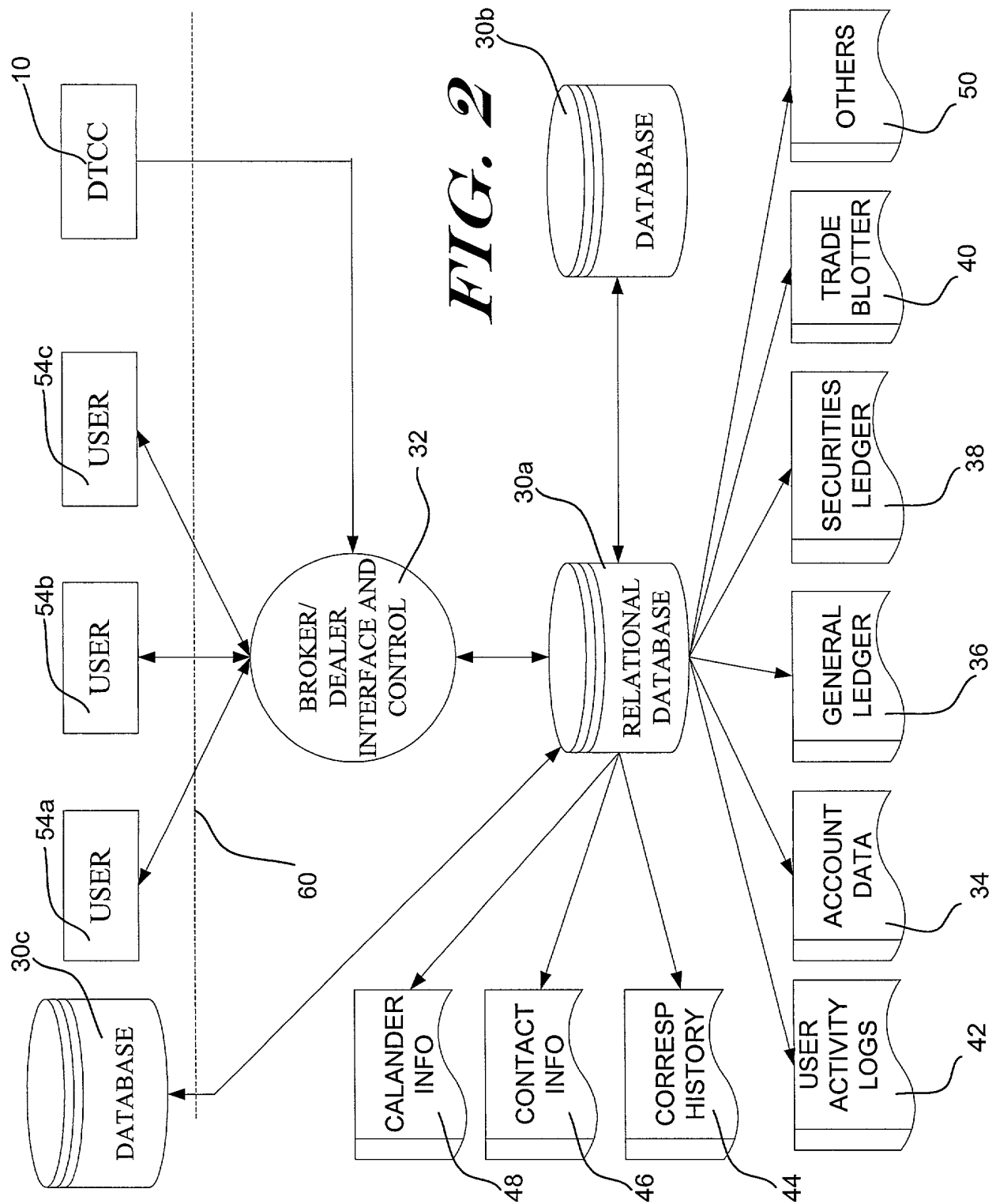
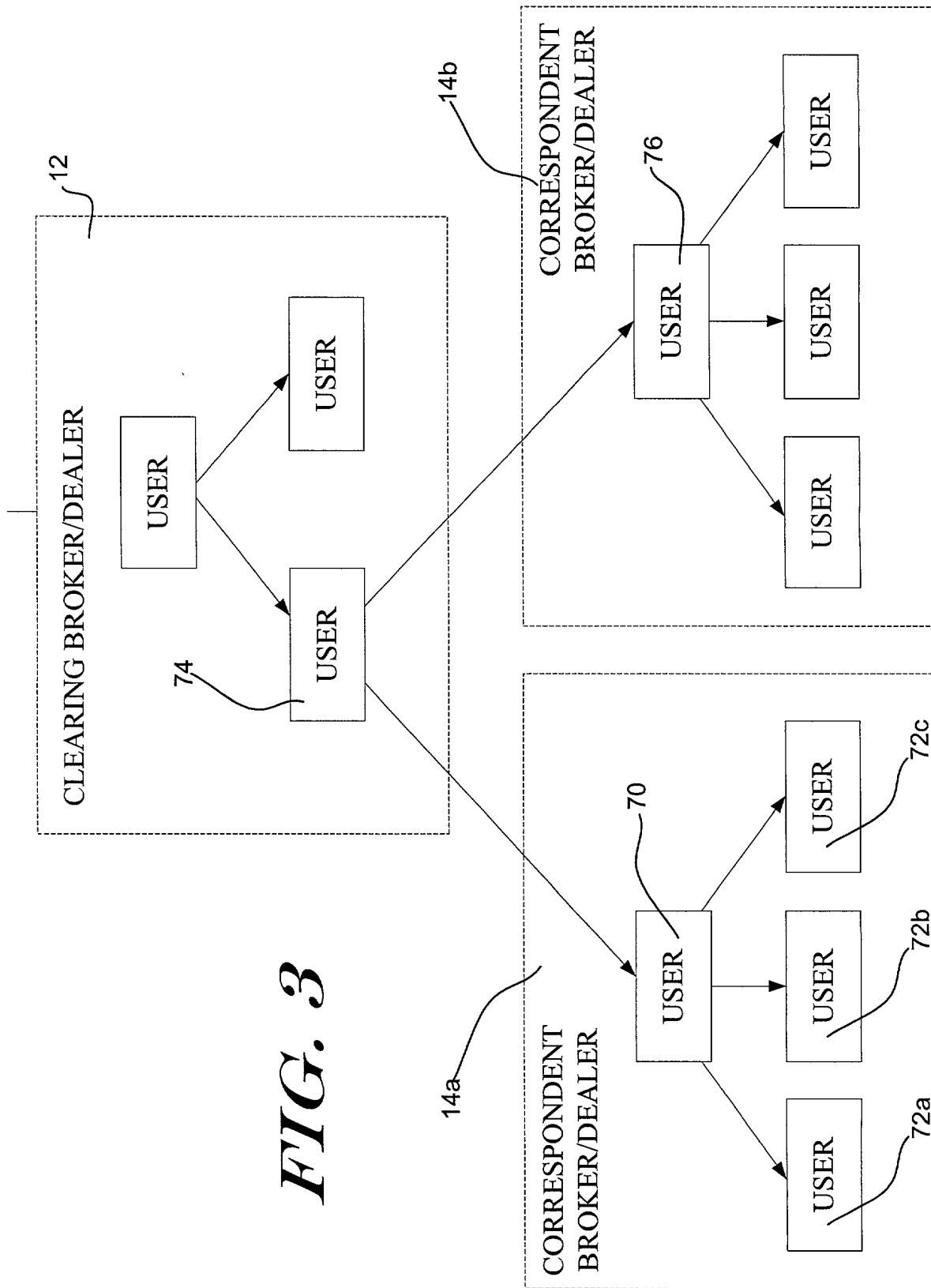


**FIG. 1**





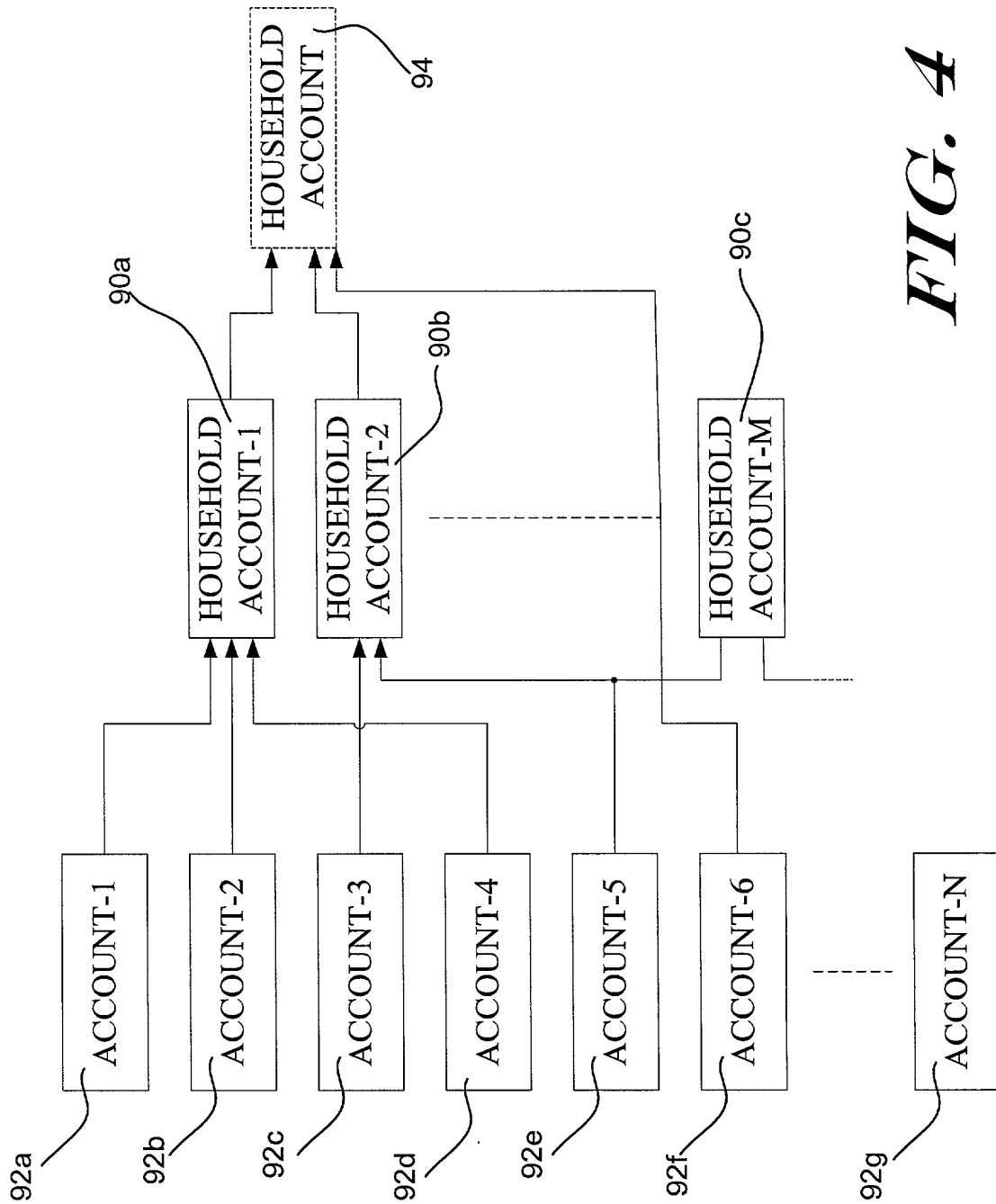


FIG. 4

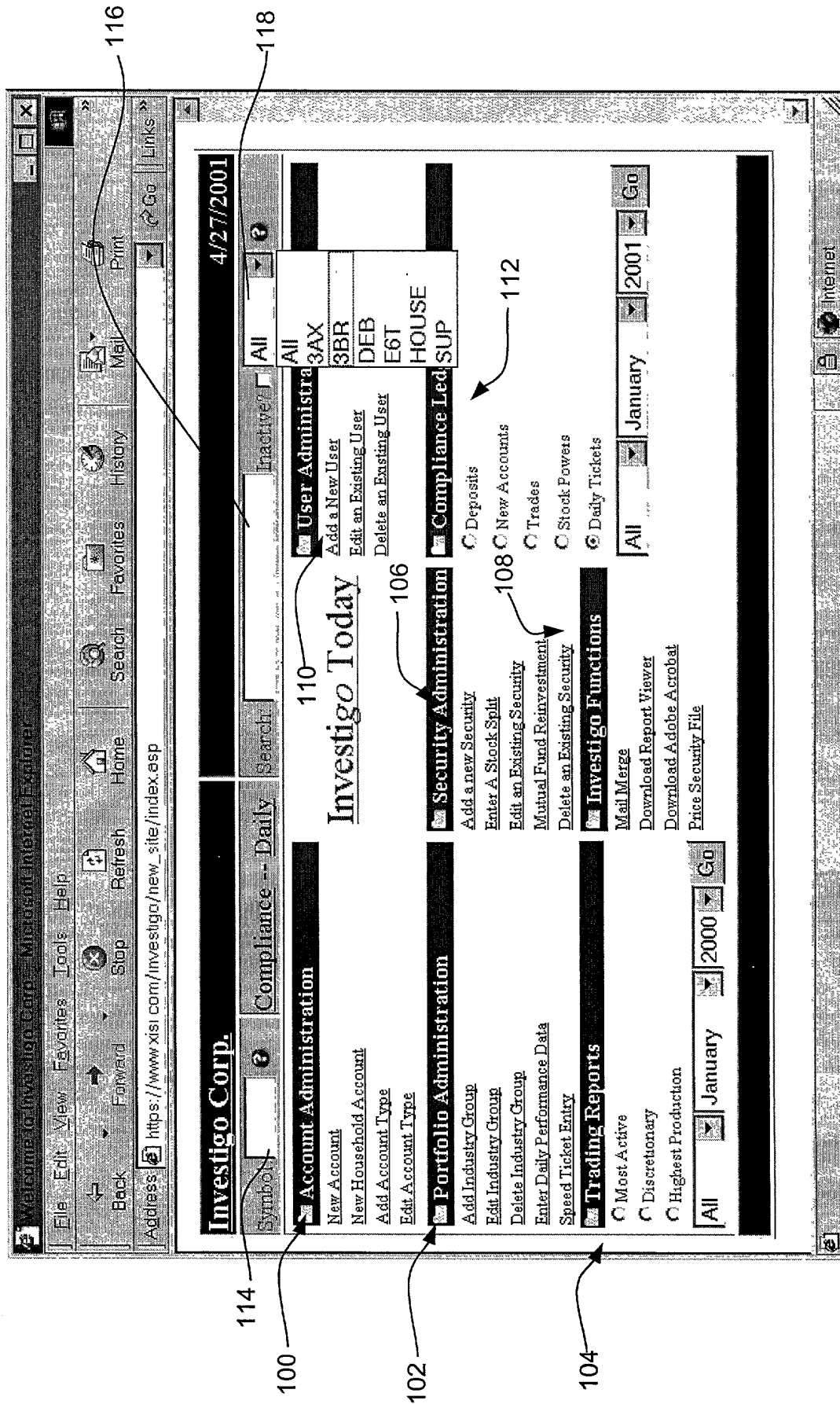


FIG. 5

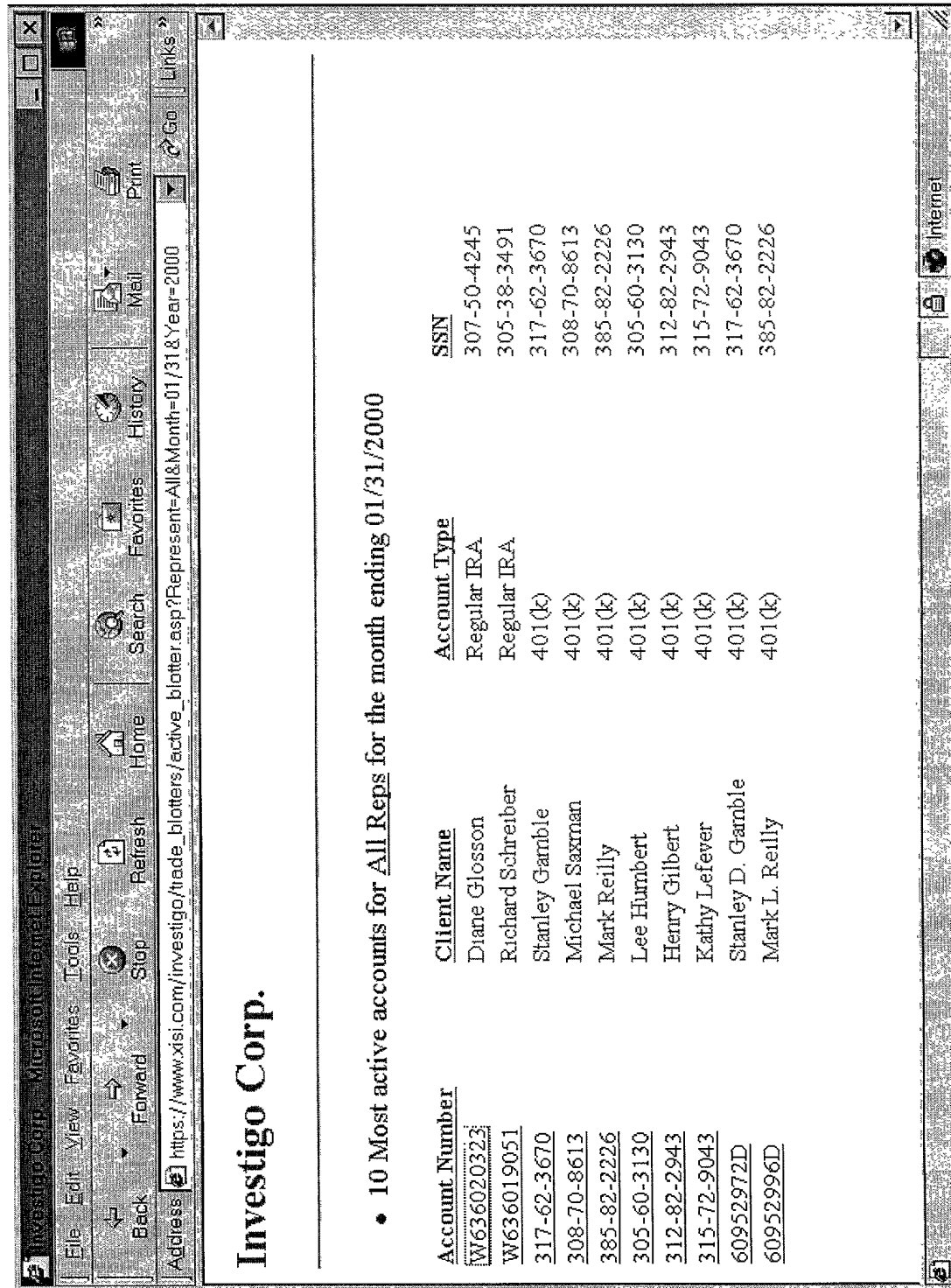


FIG. 6

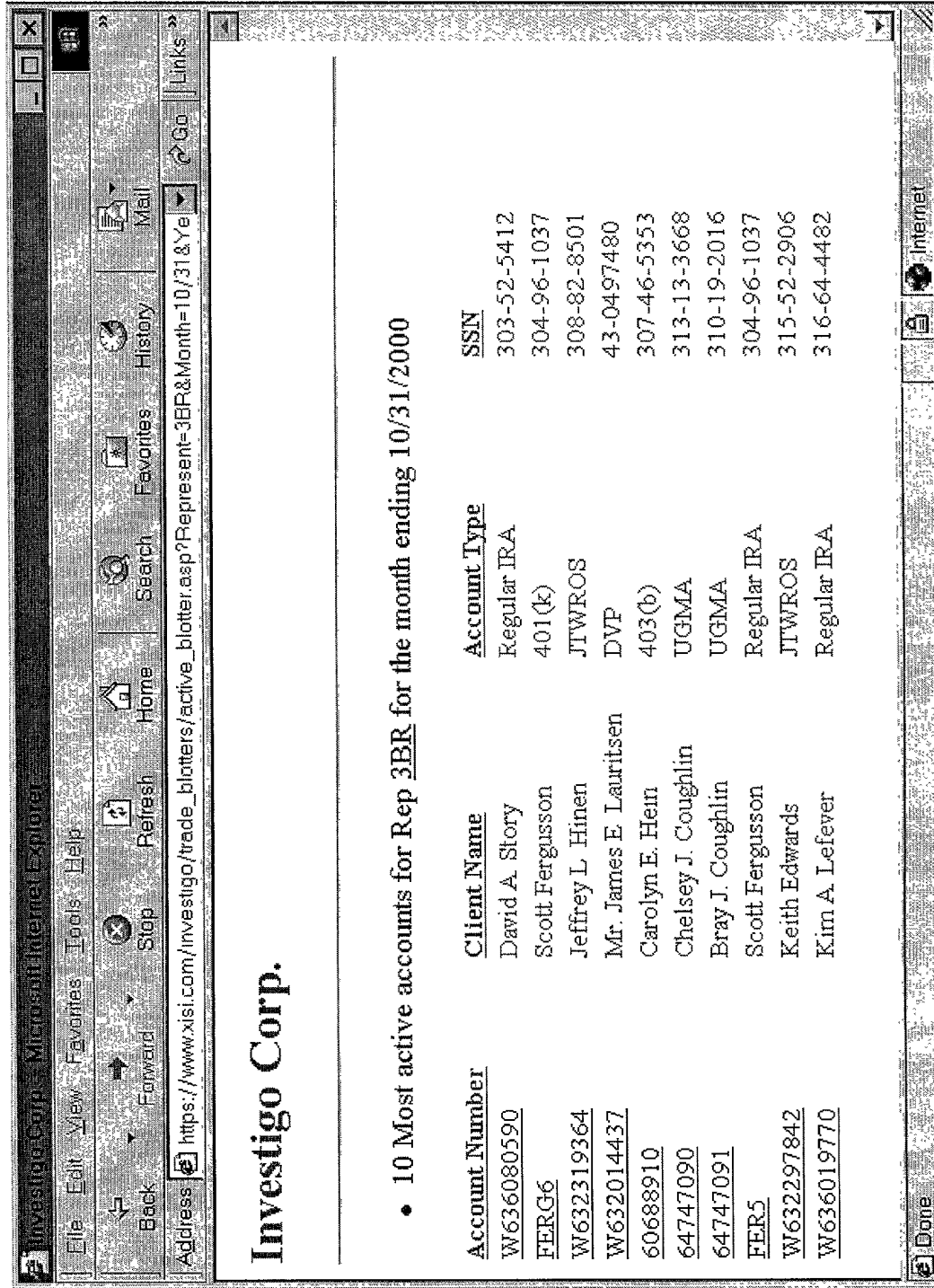


FIG. 7

Investigo Corp. Check Deposit ledger - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Refresh Home Search Favorites History Mail Print

Address <https://www.xisi.com/investigo/deposits/ledger.asp?LedgerType=Month&Rep=All&Month=10/31&Year> Go Links

## Investigo Corp.

- Check Deposit ledger for All for the Month ending 10/31/2000.

<u>Date Received</u>	<u>Account Number</u>	<u>Account Name</u>	<u>Amount</u>	<u>Deposit Date</u>	<u>Payable To</u>	<u>Represent</u>
10/1/2000	C017254-0D	Keith D Class	-900	10/1/2000	Keith D. Class	3AX
10/2/2000	64923193	Shawn D Ferro	150	10/2/2000	fund	3BR
10/2/2000	W636019127	Shurley Clem	-540	10/2/2000	Shurley Clem	3AX
10/2/2000	W636019127	Shurley Clem	-60	10/2/2000	Shurley Clem	3AX
10/2/2000	65099328	MaryJo LaVine	510	10/2/2000	Capital Bank & Trust	3AX
10/2/2000	65018634	Kelly M LaVine	-10	10/2/2000	Kelly M LaVine	3AX
10/2/2000	64955885	Patricia A Vilches	-10	10/2/2000	Patricia A Vilches	3AX
10/2/2000	64955885	Patricia A Vilches	2010	10/2/2000	Capital Bank & Trust	3AX
10/2/2000	65131336	Manano R Vilches	-10	10/2/2000	Manano R Vilches	3AX
10/2/2000	65131336	Manano R Vilches	2010	10/2/2000	Capital Bank & Trust	3AX
10/2/2000	W636019234	Coryll Miller	-500	10/2/2000	Coryll Miller	3AX
10/2/2000	W636019085	Ross Leakey	-520	10/2/2000	Ross Leakey	3AX
10/2/2000	64924065	Elizabeth E Neuck	-300	10/2/2000	Elizabeth E Neuck	3BR
10/2/2000	64923194	Heather A Ferro	125	10/2/2000	fund	3BR
10/2/2000	W636019697	Gloria Weiler	-100	10/2/2000	Gloria Weiler	3AX
10/2/2000	W636020505	Dean Mansdorfer	-850	10/2/2000	Dean Mansdorfer	3AX
10/2/2000	W636020513	Nyla Mansdorfer	-350	10/2/2000	Nyla Mansdorfer	3AX
10/2/2000	W636020562	Frank Erwin	-600	10/2/2000	Frank Erwin	3AX
10/2/2000	W636058851	David B Sensenich	-400	10/2/2000	David B Sensenich	3AX
10/2/2000	W636081952	Gary S Hall	-350	10/2/2000	Gary S Hall	3AX
10/2/2000	W638026435	Dorothy M Neuenschwander	-1500	10/2/2000	Dorothy M Neuenschwander	3AX
10/2/2000	W638030924	Alfred E Boyer	-223.7	10/2/2000	Alfred E Boyer	3AX
10/2/2000	W636019622	Sophie Leakey	-200	10/2/2000	Sophie Leakey	3AX
10/2/2000	64831677	Dolons McCormuck	-200	10/2/2000	Dolons McCormuck	3AX
10/2/2000	W632293528	Ellen Jackson	-5000	10/2/2000	Ellen Jackson	3AX
9/30/2000	W632628913	William A Oliver	1000.00	10/2/2000	Schroder & Co	EOI
10/2/2000	W632669420	Robert W Schnmpke	2000.00	10/2/2000	Schroder & Co	3AX
10/2/2000	W632292801	Maze Welbaum	-249.36	10/2/2000	Maze Welbaum	3AX

Done Internet

FIG. 8



100260" Oct 2000

Investigo Corp Trade Blotter - Microsoft Internet Explorer										
File Edit View Favorites Tools Help										
Back Forward Stop Refresh Home Search Favorites History Mail Print										
Address: https://www.xisi.com/investigo/trade_blotter/trade_blotter.asp?Represent=All&Month=10/31&Year=2000										
Investigo Corp.										
Trade Buy Blotter for All for dates 10/1/2000 to 10/31/2000										
Trade Date	Settle Date	Buy / Sell	Account Number	Product	Shares	S/UNS	Buy Price	Buy Cost	Buy Commission	
10/1/2000	10/4/2000	Buy	W632293452	C017254-0D	60327 84	Unsolicited	1	0	0	
10/2/2000	10/5/2000	Buy	W632669420	IALAX	3603 604	Solicited	15.54	56000	0	
10/2/2000	10/5/2000	Buy	W632669420	IDGSX	1689 708	Solicited	13.02	22000	0	
10/2/2000	10/5/2000	Buy	W632669420	RCVAX	1756 44	Solicited	17.08	30000	0	
10/2/2000	10/5/2000	Buy	W632667689	LEIFX	0 194	Solicited	22.5	0	0	
10/2/2000	10/5/2000	Buy	W632665626	RCVAX	51 317	Solicited	16.58	0	0	
10/2/2000	10/5/2000	Buy	W632665655	RCVBX	11 881	Solicited	16.61	0	0	
10/2/2000	10/5/2000	Buy	W632668893	RCVGX	7 324	Solicited	16.57	0	0	
10/2/2000	10/5/2000	Buy	W632541066	BETM	300	Solicited	0.4375	187 6	50	
10/2/2000	10/5/2000	Buy	W632498077	LEIBX	0 135	Solicited	22.5	0	0	
10/2/2000	10/5/2000	Buy	W632467411	QQQ	70	Solicited	88.5	6333.44	132.09	
10/2/2000	10/5/2000	Buy	W632448502	RCVGX	16 242	Solicited	16.57	0	0	
10/2/2000	10/5/2000	Buy	W636047672	RCVBX	47 063	Solicited	16.57	0	0	
10/2/2000	10/5/2000	Buy	W632367389	RCVBX	21 917	Solicited	16.61	0	0	
10/2/2000	10/5/2000	Buy	W632669420	OPPAX	485 784	Solicited	69.99	34000	0	
10/2/2000	10/5/2000	Buy	W632366945	LEIFX	1 342	Solicited	22.5	0	0	
10/2/2000	10/5/2000	Buy	W632322475	RCVAX	40 796	Solicited	16.58	0	0	
10/2/2000	10/5/2000	Buy	W632312666	AHITX	3 706	Solicited	12.97	0	0	
10/2/2000	10/5/2000	Buy	W632306858	NABGX	13 93	Solicited	15.04	0	0	
10/2/2000	10/5/2000	Buy	W632297412	LEIBX	0 292	Solicited	22.5	0	0	
10/2/2000	10/5/2000	Buy	W632297347	LEIBX	0 576	Solicited	22.5	0	0	
10/2/2000	10/5/2000	Buy	W632297107	KO	0 62	Solicited	54.937	34 22	0	
10/2/2000	10/5/2000	Buy	W632295523	FDBBX	17 202	Solicited	8.79	0	0	
Done										Internet

FIG. 9

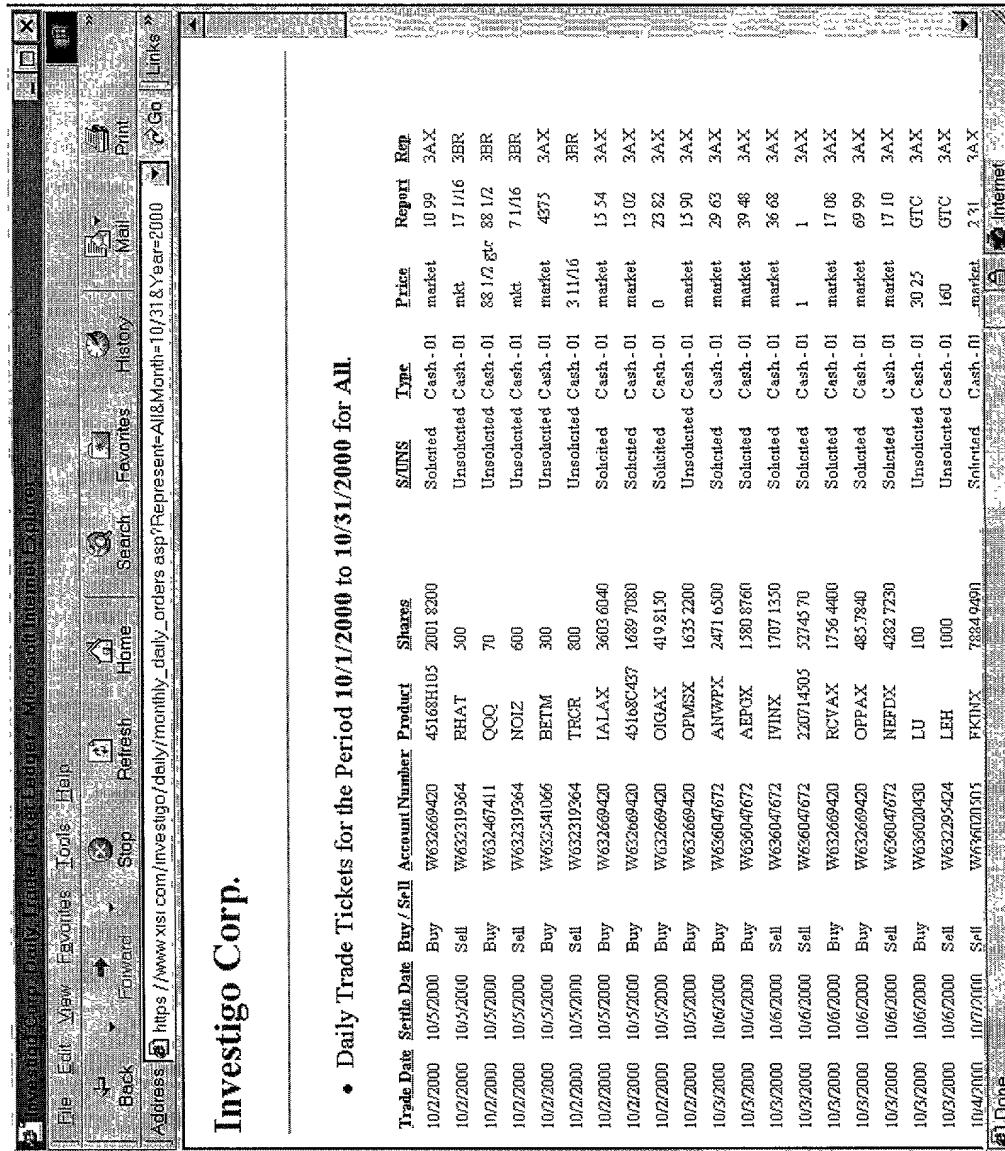


FIG. 10

FIG. 11

Generate Mail Merge - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Refresh Home Search Favorites History Mail Print

Address [https://www.xisi.com/investigo/mail\\_merge/merge\\_beta.asp](https://www.xisi.com/investigo/mail_merge/merge_beta.asp) Go Links

Symbol:  Go Compliance -- Daily Account Number or Name:  Lookup

### Mail Merge

Create a custom mail merge file by defining the characteristics of the accounts:

#### By Account Registration

Representative

Account Type

Report Frequency

State of Residence

#### By Investment Objective

<input type="checkbox"/> LT Capital Appreciation	<u>Stocks</u>	<input type="text" value="Don't Search"/>
<input type="checkbox"/> Short Term Trading	<u>Bonds</u>	<input type="text" value="Don't Search"/>
<input checked="" type="checkbox"/> Business Man's Risk	<u>Options</u>	<input type="text" value="Don't Search"/>
<input type="checkbox"/> Income	<u>Futures</u>	<input type="text" value="Don't Search"/>
<input type="checkbox"/> Safety of Principal		
<input type="checkbox"/> Tax Exempt Income		

#### By Personal Interests

☒ Golf ☐ Tennis

#### By Holdings

<input checked="" type="checkbox"/> <u>Owns Mutual Funds</u>	<input type="checkbox"/> <u>Owns Long Term Care Policies</u>
<input type="checkbox"/> <u>Owns Life Insurance</u>	<input type="checkbox"/> <u>Owns Variable Annuities</u>

Symbol

Done Internet

150

152

154

156

158

FIG. 11

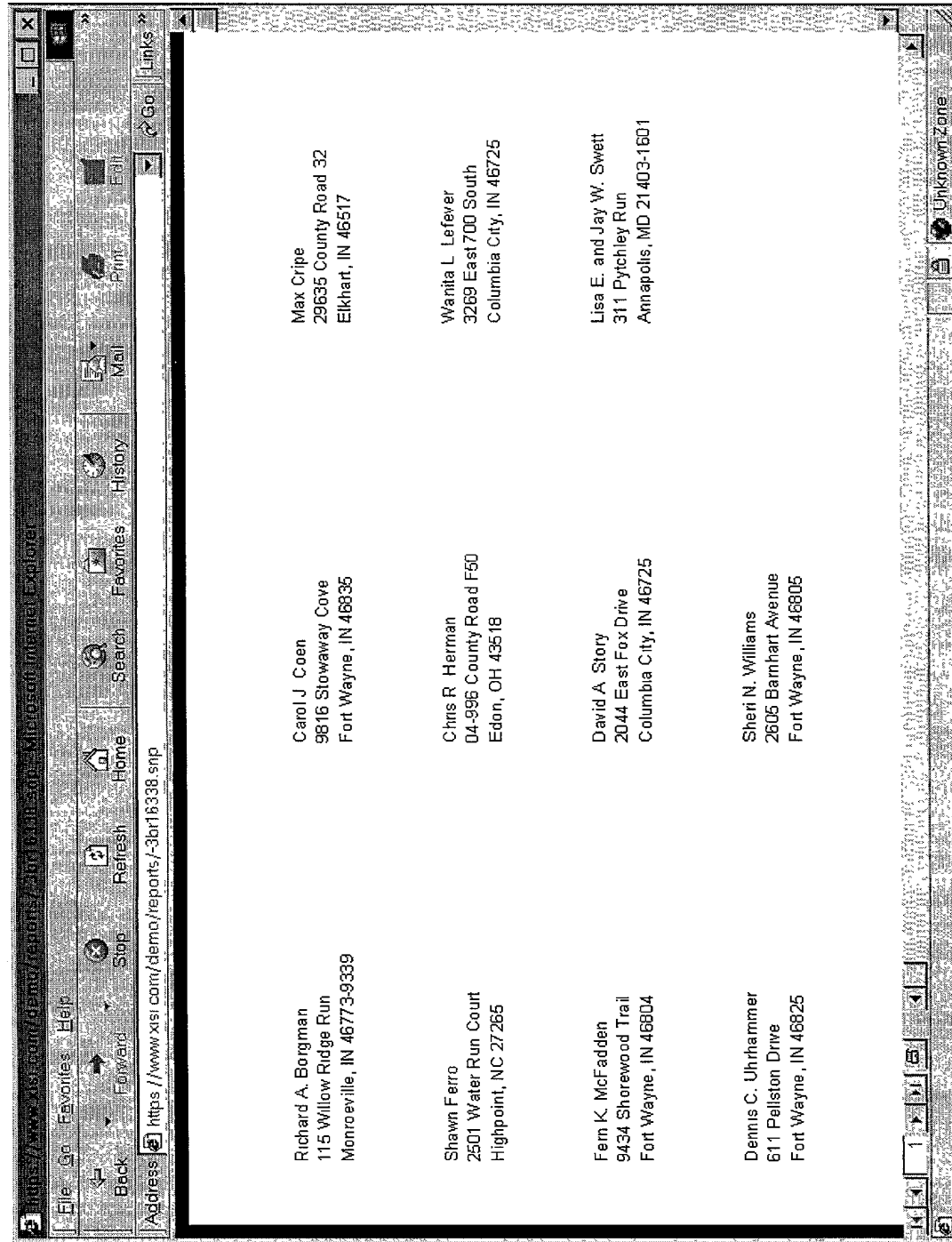
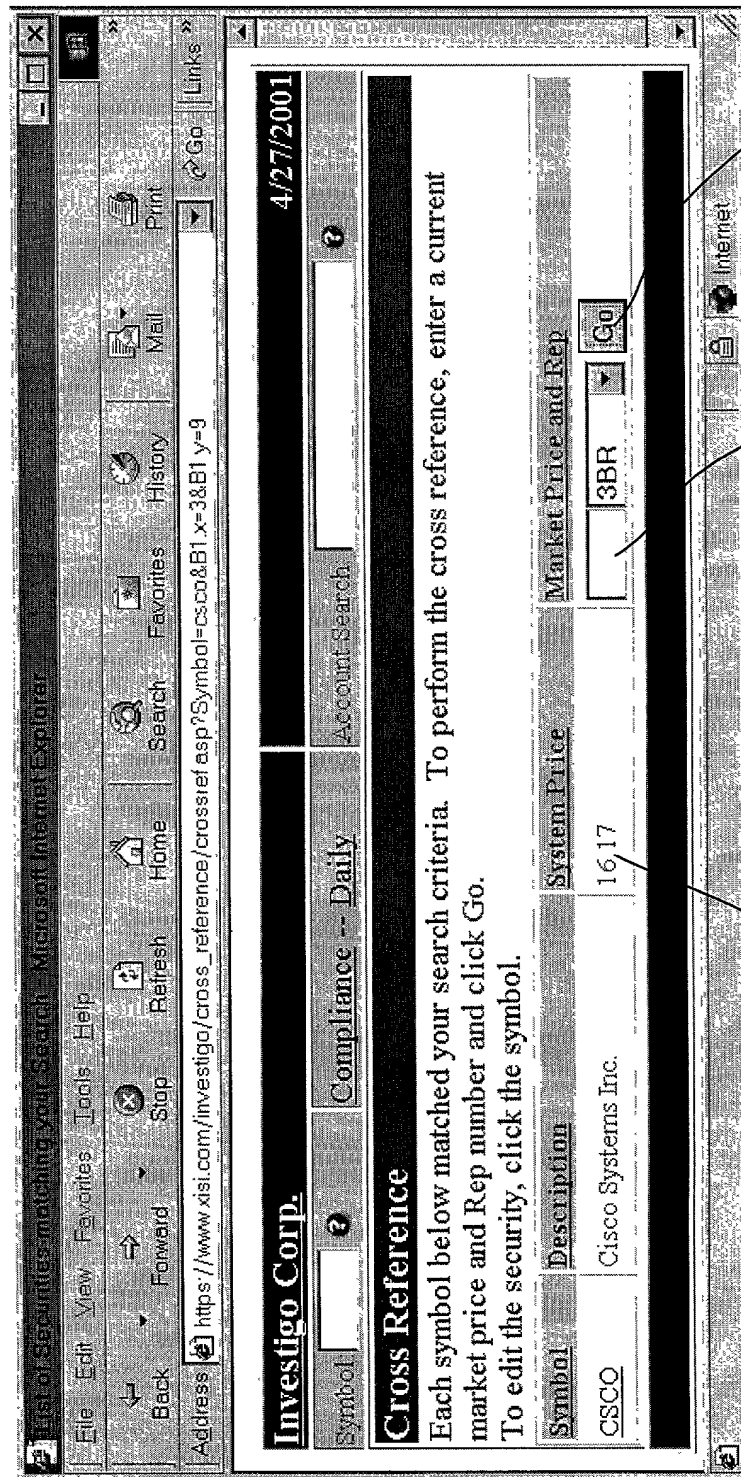


FIG. 12



164

160

FIG. 13

162

180

Open Positions - Microsoft Internet Explorer

Address [https://www.xsi.com/investigo/cross\\_reference/cross-refperform.asp?NewPrice=&Broker=3BR&B1=Go&Symbol=](https://www.xsi.com/investigo/cross_reference/cross-refperform.asp?NewPrice=&Broker=3BR&B1=Go&Symbol=)

**Investigo Corp.** 4/27/2001

Symbol  Compliance -- Daily Account Search

**Cross Reference for Cisco Systems Inc.**

List of Open Positions for CSCO, Currently Trading at 16.17 for Representative (3BR). To go to a specific account click on the Account Number. To sell a specific position, click on the Shares.

**Cisco Systems Inc.-- (CSCO) at 16.17**

[Mail Merge](#)

Account Number	Last Name	Symbol	Shares	Open Date	Avg Price	Total Cost	P/L	Contact #'s
<a href="#">W632297834</a>	Bowal	CSCO	<a href="#">100</a>	7/12/1999	33.8135	\$3,381.35	(\$1,764.35)	W 219-825-9457 H 219-825-5520
<a href="#">W632298345</a>	Edwards	CSCO	<a href="#">195</a>	3/24/2000	69.8983	\$13,630.16	(\$10,477.01)	W H 219-635-2496
<a href="#">W636098170</a>	Felber	CSCO	<a href="#">100</a>	1/5/2000	50.6402	\$5,064.02	(\$3,447.02)	W H W 800-392-0844e272 H 770-967-4053
<a href="#">W632297107</a>	Kernen	CSCO	<a href="#">103</a>	4/18/2000	68.1096	\$7,015.29	(\$5,349.78)	W 219-357-6557 H 219-357-5252
<a href="#">W632392841</a>	Marques	CSCO	<a href="#">600</a>	2/4/1999	29.6721	\$17,803.26	(\$8,101.26)	W 219-925-4939 H 219-837-6070
<a href="#">W632488060</a>	Mason	CSCO	<a href="#">238</a>	10/7/1999	47.0749	\$11,203.83	(\$7,355.37)	W 219-425-5792 H 219-497-0740
<a href="#">W632494886</a>	McClain	CSCO	<a href="#">200</a>	7/15/1999	33.3484	\$6,669.68	(\$3,435.68)	W 270-251-1263 H 270-554-4701
<a href="#">W632520656</a>	Rienks	CSCO	<a href="#">110</a>	7/21/1999	46.9189	\$5,161.08	(\$3,382.38)	W 270-251-1109 H 270-554-5384
<a href="#">W632645099</a>	Silva	CSCO	<a href="#">20</a>	3/23/2000	79.883	\$1,597.66	(\$1,274.26)	

Done Internet

FIG. 14

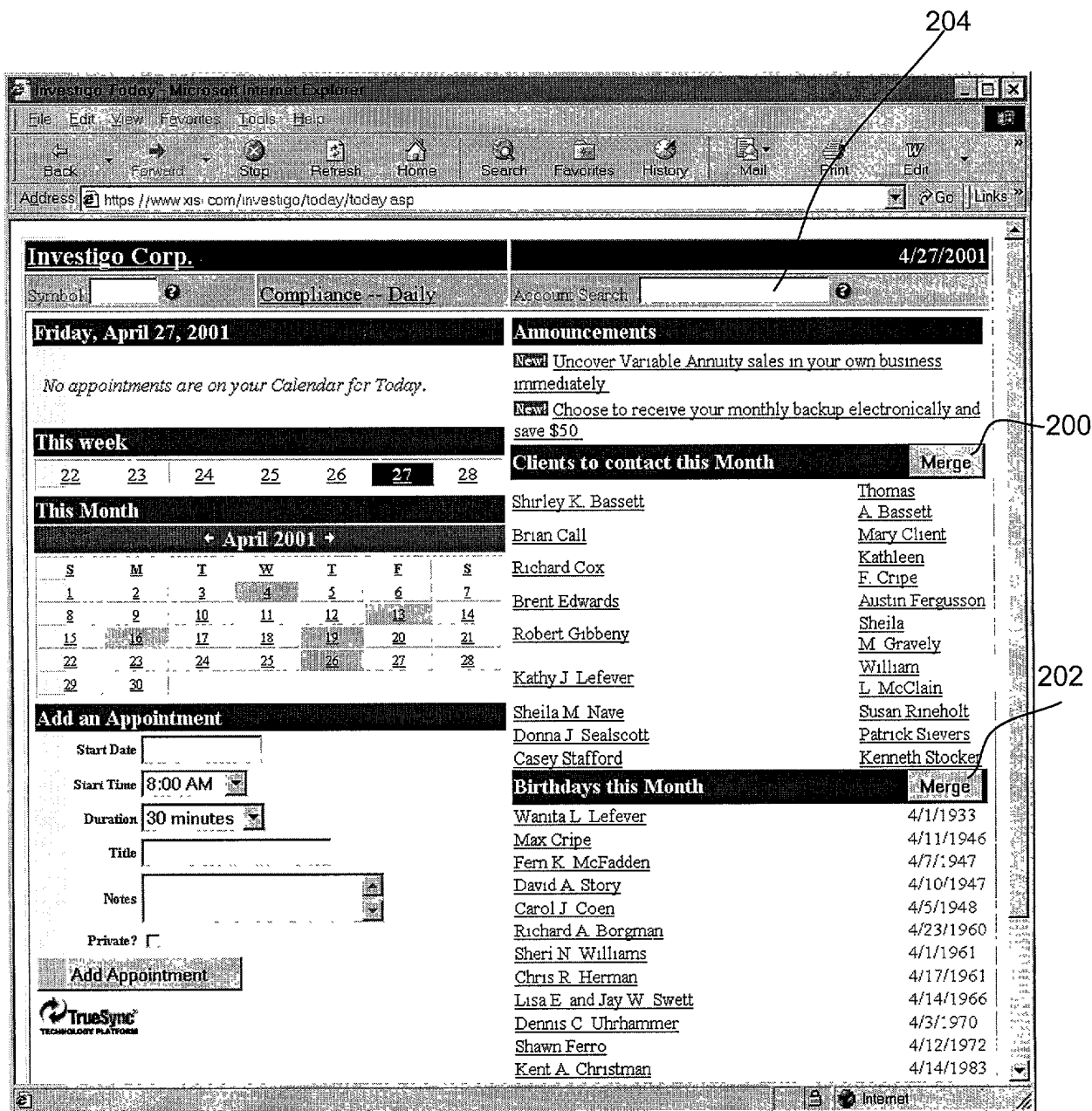


FIG. 15

Microsoft Internet Explorer

Address: [https://www.xisi.com/investigo/new\\_site/lookup.asp?search=client](https://www.xisi.com/investigo/new_site/lookup.asp?search=client)

Investigo Corp. 4/27/2001

Symbol:  Compliance -- Daily Account Search:

**Account Lookup**

Each account listed below matched your search criteria. To go to the account, click on the Account Number. To Delete the Account, click the trash can icon after the Telephone Number(s).

Account Number	Rep	Primary Name	Account Type	Telephone(s)	Delete?
<u>000170016</u>	(3BR)	Hope Client	Variable Annuity	(w) - 219-555-1234 (h) - 219-555-1212	
<u>JDEMO2</u>	(3BR)	Joseph & Mary Client	JTWROS	(w) - 219-555-1234 (h) - 219-555-1212	
<u>JDEMO</u>	(3BR)	Joseph Client	IRA Rollover	(w) - 219-555-1234 (h) - 219-555-1212	
<u>DEMO-HH</u>	(3BR)	Joseph & Mary Client		(w) - 219-555-1234 (h) - 219-55-1212	
<u>W632330122</u>	(3BR)	Mary Client	Single - Cash	(w) - 219-422-5686 (h) - 219-422-5686	

212

FIG. 16

210



FIG. 17

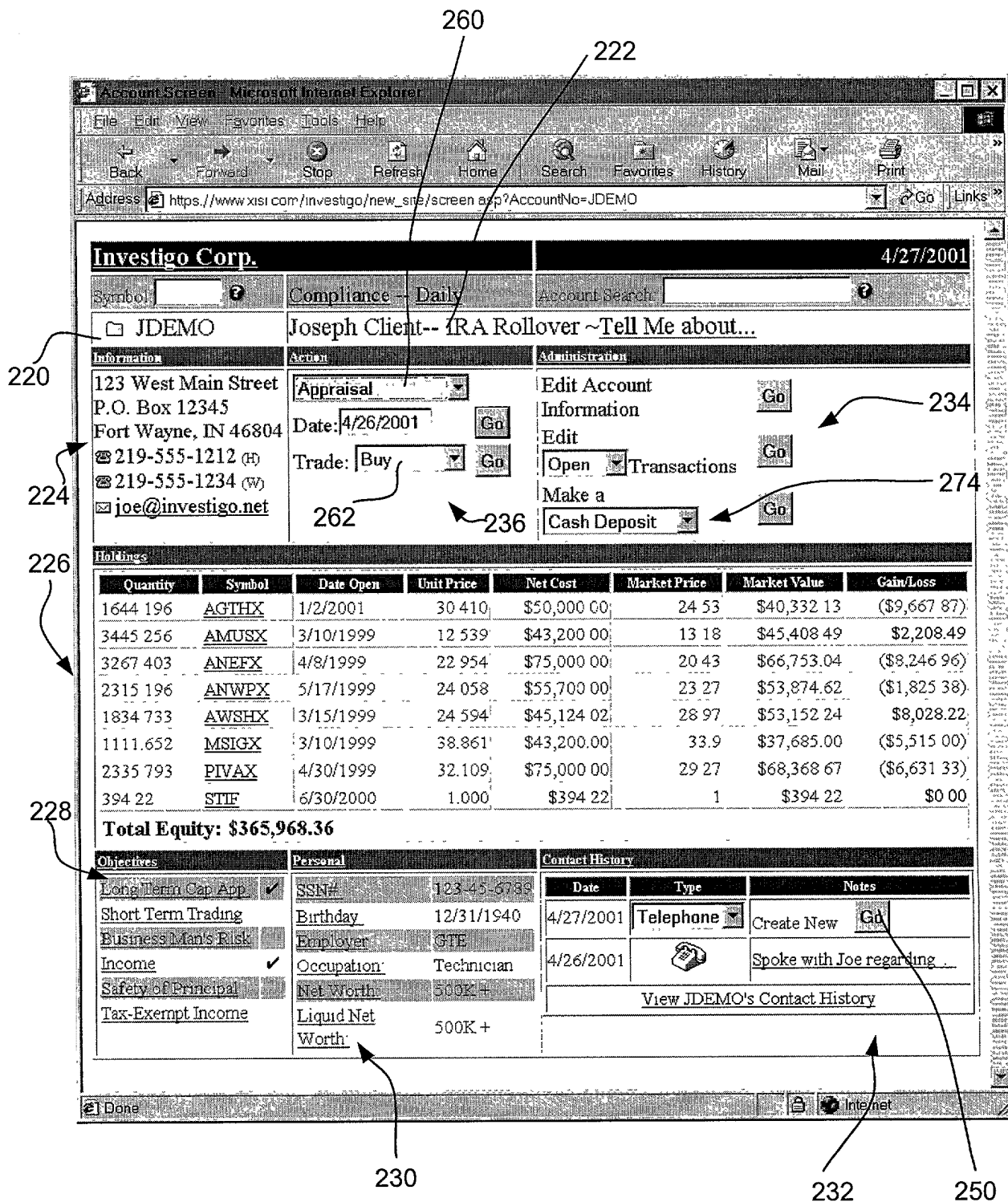


FIG. 17

260

Account Screen - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Refresh Home Search Favorites History Mail Print

Address: https://www.xisi.com/investigo/new\_site/screen.asp?AccountNo=JDEMO

---

**Investigo Corp.** 4/27/2001

Symbol:  Compliance -- **Daily** Account Search:

**JDEMO** Joseph Client-- IRA Rollover ~Tell Me about...

Information	Action	Administration
123 West Main Street P.O. Box 12345 Fort Wayne, IN 46804 ☎ 219-555-1212 (H) ☎ 219-555-1234 (W) ☑ joe@investigo.net	<input checked="" type="checkbox"/> Realized G/L <input type="checkbox"/> Appraisal <input type="checkbox"/> Appraisal Graph <input type="checkbox"/> Asset Allocation <input type="checkbox"/> Asset Alloc. Graph <input type="checkbox"/> Realized G/L <input type="checkbox"/> Performance	Edit Account Information <input type="button" value="Go"/> Edit <input type="button" value="Go"/> <input type="button" value="Open"/> Transactions <input type="button" value="Go"/> Make a Cash Deposit <input type="button" value="Go"/>

**Holdings**

Quantity	Symbol	Date Open	Unit Price	Net Cost	Market Price	Market Value	Gain/Loss
1644 196	AGTHX	1/2/2001	30 410	\$50,000 00	24 53	\$40,332 13	(\$9,667 87)
3445 256	AMUSX	3/10/1999	12 539	\$43,200 00	13 18	\$45,408 49	\$2,208 49
3267 403	ANEFX	4/8/1999	22 954	\$75,000 00	20 43	\$66,753 04	(\$8,246 96)
2315 196	ANWPX	5/17/1999	24 058	\$55,700 00	23 27	\$53,874 62	(\$1,825 38)
1834 733	AWSHX	3/15/1999	24 594	\$45,124 02	28 97	\$53,152 24	\$8,028 22
1111 652	MSIGX	3/10/1999	38 861	\$43,200 00	33 9	\$37,685 00	(\$5,515 00)
2335 793	PIVAX	4/30/1999	32 109	\$75,000 00	29 27	\$68,368 67	(\$6,631 33)
394 22	STIF	6/30/2000	1 000	\$394 22	1	\$394 22	\$0.00

**Total Equity: \$365,968.36**

Objectives	Personal	Contact History
Long Term Cap App. <input checked="" type="checkbox"/>	SSN# 123-45-6789	Date Type Notes
Short Term Trading	Birthday 12/31/1940	4/27/2001 Telephone Create New <input type="button" value="Go"/>
Business Man's Risk	Employer GTE	4/26/2001 Spoke with Joe regarding
Income <input checked="" type="checkbox"/>	Occupation Technician	
Safety of Principal	Net Worth 500K +	
Tax-Exempt Income	Liquid Net 500K +	

[View JDEMO's Contact History](#)

Done Internet

FIG. 18

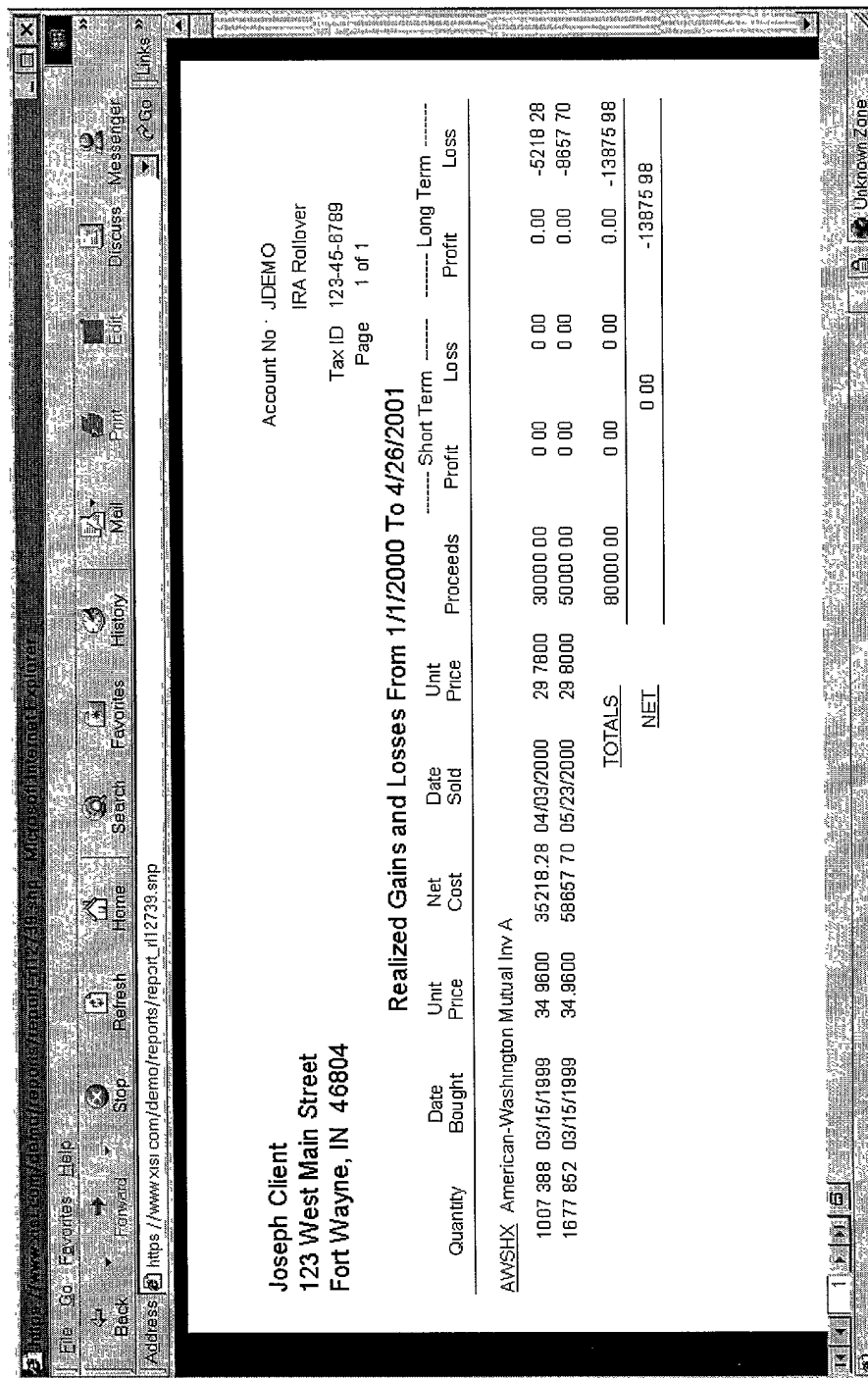


FIG. 19

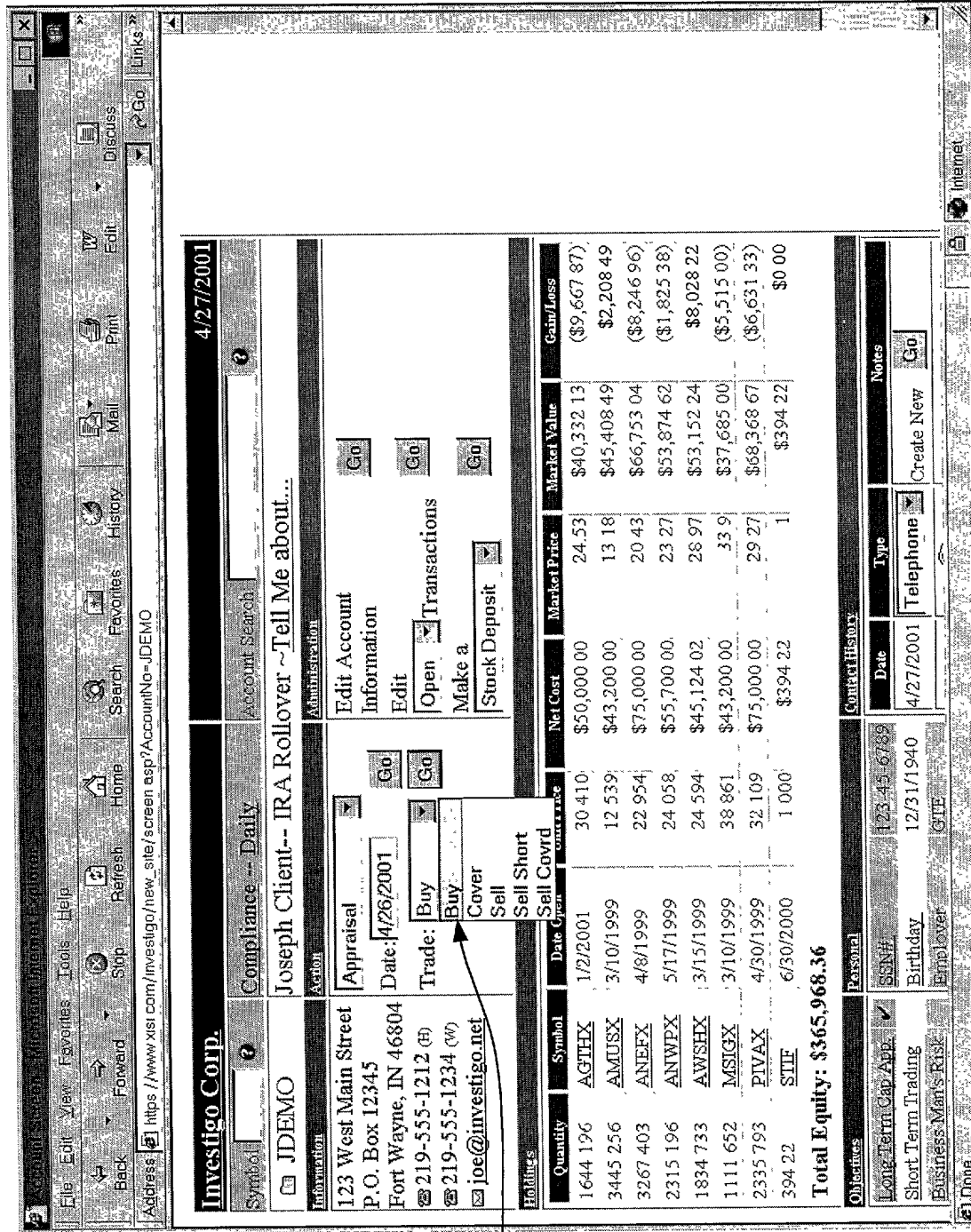


FIG. 20

Trade Entry -- Buy & B1 -- Go & report date = 4/27/2001

Investigo Corp. 4/27/2001

Symbol: Compliance -- Daily Account Number or Name: ?

Trade Entry

Joseph Client-- IRA Rollover

JDEMO

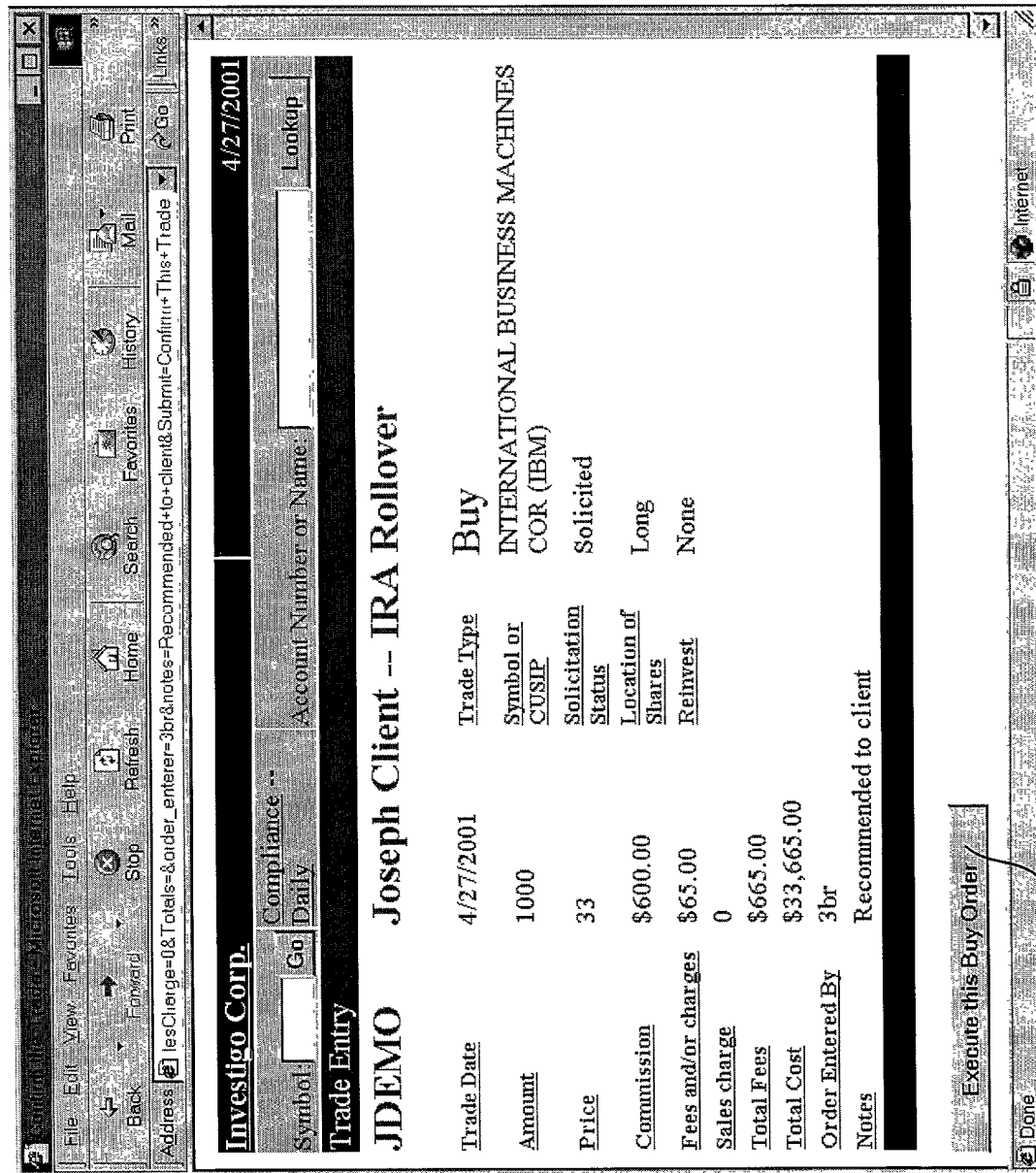
Trade Date	4/27/2001	Trade Type	Buy
Amount	1000	Symbol or CUSIP	ibm
Price	33.00	Solicitation Status	Solicited
Commission	600	Location of Shares	Long
Fees and/or charges	65.00	Reinvest	None or N/A
Sales charge	0		
Cost or Proceeds Override		- For Mutual Funds	
Order Entered By	3hr	Overrides automatic calculation	
Notes	Recommended to client		

Confirm This Trade

270

FIG. 21

268



Account Search

File Edit View Favorites Tools Help

Back Forward Stop Refresh Home Search Favorites History Mail Print Edit Go Links

Address [https://www.xisi.com/investigo/new\\_site/screen.asp?AccountNo=JDEMO](https://www.xisi.com/investigo/new_site/screen.asp?AccountNo=JDEMO)

Investigo Corp.

Symbol

Compliance -- Daily

Account Search

4/27/2001

Information

123 West Main Street

P.O. Box 12345

Fort Wayne, IN 46804

219-555-1212 (H)

219-555-1234 (W)

joe@investigo.net

Appraisal

Date: 4/26/2001

Trade: Buy

Go

Go

Go

Administration

Edit Account Information

Open Transactions

Make a

Stock Deposit

Cash Deposit

Withdrawal

Stock Deposit

Reinvest Option

Go

Go

Go

Holdings

Quantity	Symbol	Date Open	Unit Price	No	Market Value	Gain/Loss
1644 196	AGTHX	1/2/2001	30.410	\$5	\$40,332.13	(\$9,667.87)
3445 256	AMUSX	3/10/1999	12.539	\$43,200.00	\$45,408.49	\$2,208.49
3267 403	ANEFX	4/8/1999	22.954	\$75,000.00	\$66,753.04	(\$8,246.96)
2315 196	ANWPX	5/17/1999	24.058	\$55,700.00	\$53,874.62	(\$1,825.38)
1834 733	AWSHX	3/15/1999	24.594	\$45,124.02	\$53,152.24	\$8,028.22
1111 652	MSIGX	3/10/1999	38.861	\$43,200.00	\$37,685.00	(\$5,515.00)
2335 793	PIVAX	4/30/1999	32.109	\$75,000.00	\$68,368.67	(\$6,631.33)
394 22	STIF	6/30/2000	1.000	\$394.22	\$394.22	\$0.00

FIG. 23



Investigo Corp. 4/27/2001

Symbol:  Compliance -- Daily Account Number or Name:  Lookup

**Stock Power Entry Form**

Enter the information required below and click the submit button to generate a printable stock power form.

**Receiving Information**

Account Number

Date of Entry

**Security Information**

Number of shares

Symbol

Stock type

Certificate number(s)

Done Internet

FIG. 24



Irrevocable Stock or Bond Power - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Refresh Home Search Favorites History Mail Print

Address [https://www.xisi.com/invest/go/stock\\_power/stock\\_power\\_confirm.asp?account\\_no=JDEMO&e\\_date=4%2F27%2F](https://www.xisi.com/invest/go/stock_power/stock_power_confirm.asp?account_no=JDEMO&e_date=4%2F27%2F) Go Links

## IRREVOCABLE STOCK OR BOND POWER

FOR VALUE RECEIVED, the undersigned does (do) hereby sell, assign, and transfer to

Joseph Client SSN#: 123-45-6789  
123 West Main Street  
Fort Wayne, IN 46804

If Stock, 15 shares of the Common stock of INTERNATIONAL BUSINESS MACHINES COR (ibm)  
Complete (   
This ( represented by Certificate(s) No(s) 12232293 inclusive,  
Portion ( Standing in the name of the undersigned on the books of said Company.

If Bonds, ( \_\_\_\_\_ bonds of \_\_\_\_\_  
Complete (   
This ( in the principal amount of \$ \_\_\_\_\_ No(s) \_\_\_\_\_ inclusive,  
Portion (   
( standing in the name of the undersigned on the books of said company.

The undersigned does (do) hereby irrevocably constitute and appoint \_\_\_\_\_ attorney to transfer the said stock or bond(s), as the case may be, on the books of said Company, with full power of substitution in the premises.

Dated: 4/27/2001

IMPORTANT-READ CAREFULLY  
The signature(s) to this Power must correspond with the name(s) as written upon the face of the certificate(s) or bond(s) in every particular without alteration or enlargement or any change whatever. Signature guarantee should be made by a member or member organization of the New York

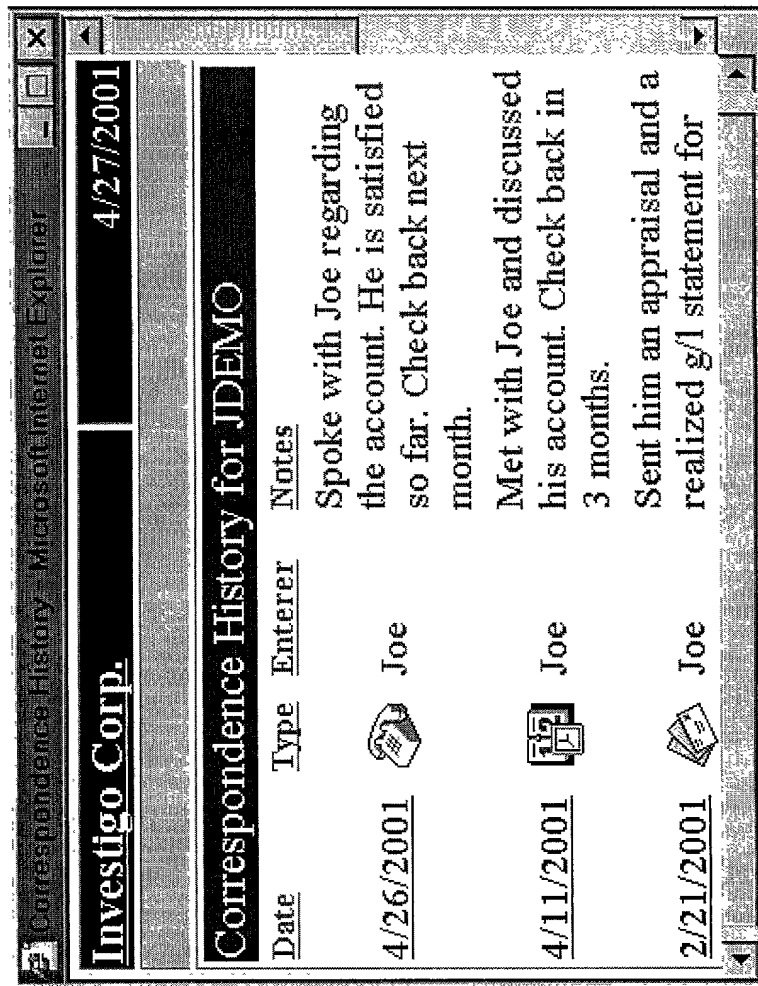
\_\_\_\_\_  
Joseph Client

SIGNATURE GUARANTEED

Done Internet

*FIG. 25*

FIG. 26



*FIG. 27*

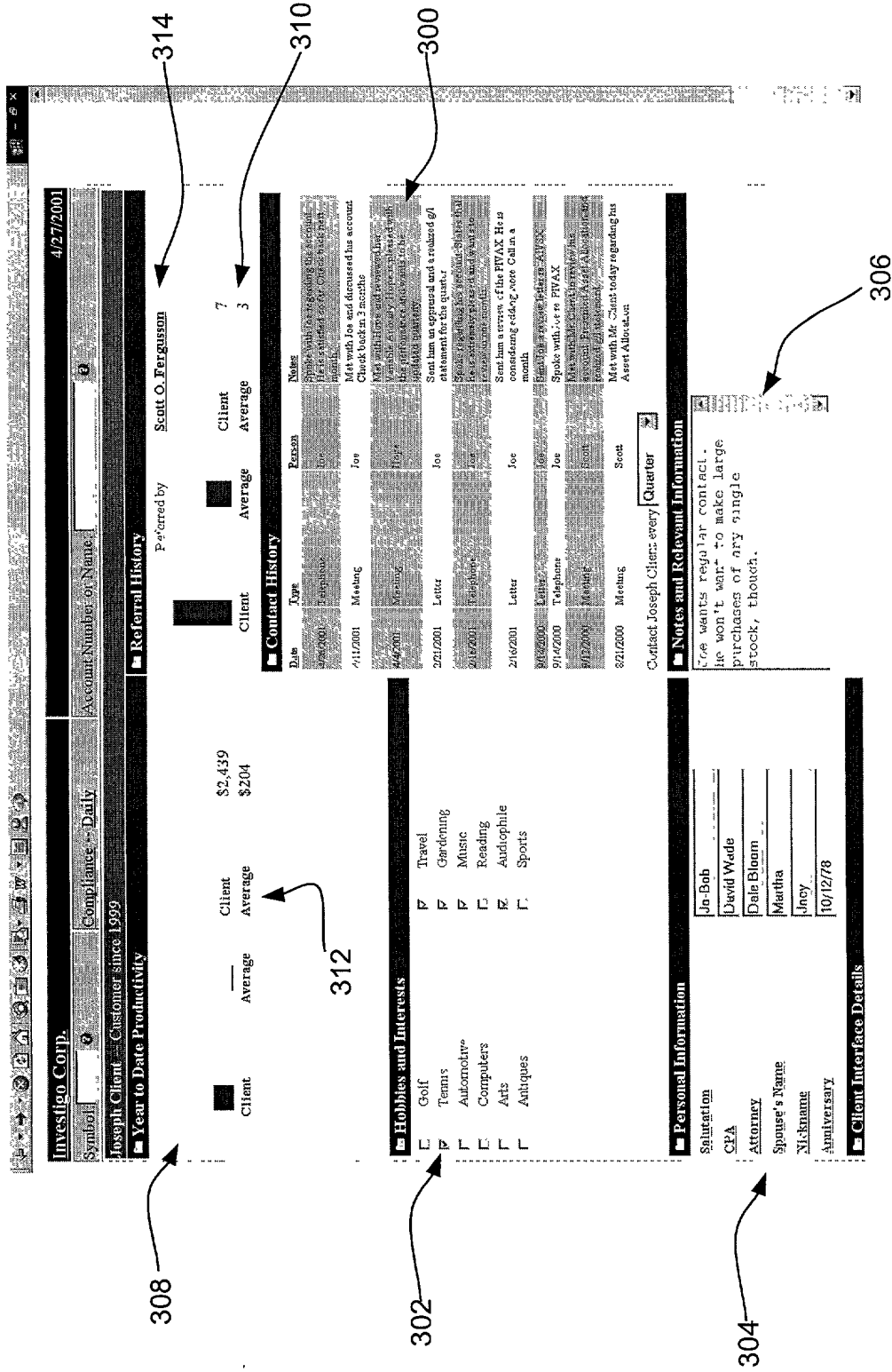


FIG. 28